

Docket No. IL-10504

Assistant Commissioner for Patents  
Washington, DC 20231

## NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of Inventor(s):  
Robert J. Deri, Rajesh R. Patel, Steven W. Bond, and Cory V. Bennett

For (title): **WAVE-LENGTH-CONSERVING GRATING ROUTER FOR  
INTERMEDIATE WAVELENGTH DENSITY**

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## 1. Type of Application

- ☒ This new application is for an original patent.
- ☐ This new application is a:
  - ☐ Division
  - ☐ Continuation
  - ☐ Continuation-in-part (CIP)

## 2. Benefit of Prior U.S. Application(s) (35 USC 120)

- ☐ The new application being transmitted claims the benefit of prior U.S. application(s).
  - ☐ Group/Art Unit:
  - ☐ Examiner of Prior Application:

3. ☒ Benefit under 35 U.S.C. 119(e) of United States provisional application(s) listed below:

<u>60/141899</u>	<u>6/30/99</u>
Application Serial No.	Filing Date

## 4. Papers enclosed which are required for filing Date Under 37 CFR 1.53(b).

19 Pages of specification, including  
Claims, Abstract and Title Page

5 Sheets of drawings

## 5. Additional papers enclosed

- ☐ Preliminary Amendment
- ☒ Express Mail Certificate
- ☒ Information Disclosure Statement and Form PTO-1449
- ☒ Return Postcard

6. Declaration or oath

- ☒ Enclosed and executed by
- ☒ Inventors
- ☐ legal representative of inventor(s) 37 CFR 1.42 or 1.43
- ☐ Not Enclosed

7. Assignment

- ☒ An assignment of the invention to The Regents of the University of California.
- ☒ is attached
- ☐ will follow

8. Certified Copy

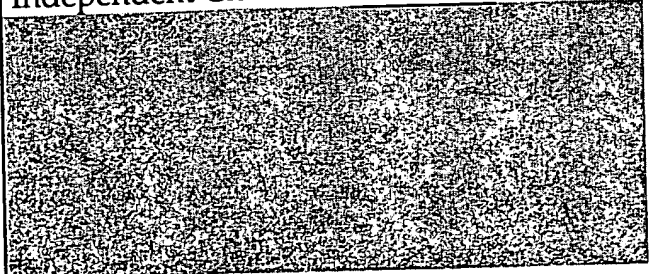
Certified copy(ies) of application(s)

(country)	(application no.)	(filed)
(country)	(application no.)	(filed)

from which priority is claimed

- ☐ is(are) attached.
- ☐ will follow

9. Fee Calculation

CLAIMS AS FILED					
Type of Claim	Number Filed	Included in Basic Fee	Number Extra	Rate	Total Fee
Total Claims	20	-20 =	0	x \$18 =	\$ .00
Independent Claims	2	-3 =	0	x \$78 =	\$ .00
				Multiple Claims	= \$
				Basic Filing Fee	= \$ 690.00
				Sub-Total	= \$ 690.00
				Small Entity Filing Fee	= \$ 345.00

10. **Small Entity Statement(s)**

- ☐ Verified Statement that this is a filing by small entity under 37 CFR 1.9 and 1.27 is attached.
- ☐ Copy of Verified Statement that this is a filing by small entity under 37 CFR 1.9 and 1.27 filed in prior application. Status still proper and desired.

11. **Fee Payment**

- ☐ Not Enclosed
- ☐ Enclosed (See Charge Account Information Below)

**Total Basic Filing Fees To Be Paid** \$ 345.00

12. **Method of Payment of Fees**

- ☐ Check in the Amount of \$ \_\_\_\_\_
- ☐ Charge Account No. 12-0695 in the amount of \$ 345.00
- A duplicate of this transmittal is attached.**

13. **Instructions As To Overpayment/Underpayment**

- ☐ credit/charge  
Account No. 12-0695
- ☐ refund

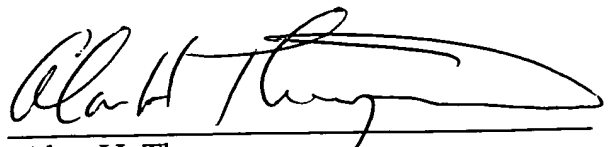
14. **Correspondence Address**

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P.O. Box 808, L-703, Livermore, CA 94551  
USA

Tel: (925) 422-5024

Fax: (925) 423-2231

Reg No.: 29,981



Alan H. Thompson  
ATTORNEY

P.O. Box 808, L-703  
Livermore, CA 94551

Date: 6/29/2000

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Robert J. Deri et al.  
Serial No. :

Attorney Docket No. : IL-10504  
Art Unit:

Filed :

Examiner:

For : Wavelength-Conserving Grating Router For Intermediate  
Wavelength Density

Commissioner for Patents  
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EL533016925US

Date of Deposit 6/29/00

I hereby certify that the following *attached*

1. Recordation Cover Sheet with Assignment
2. New Application Transmittal (in duplicate)
3. Verified Statement Claiming Small Entity Status
4. Application  
(Specification 14 pages, Claims 3 pages, Abstract 1 page)  
Combined Declaration and Power of Attorney  
Five ( 5 ) sheets of formal drawings;
5. Information Disclosure Statement (1 page)
6. Form PTO-1449 (1 page)
  - a) 5 U.S. Patent Documents
  - b) 4 Other Disclosures
7. Express Mail Certificate
8. Return postcard

is being deposited with the United States Postal Service "Express Mail Post Office to addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, Box: Patent Application, Washington, D.C. 20231.

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Kathy E. Raymond

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Applicant: Robert J. Deri et al. Attorney  
Docket No.: IL-10504  
Serial No.: Group Art Unit:  
Filed: Examiner:  
For: Wavelength-Conserving Grating Router For Intermediate Wavelength Density

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<b>FROM: (PLEASE PRINT)</b> LAWRENCE LIVERMORE LAB PO BOX 808 LIVERMORE Intellectual Property Law Group L-703 IL-10504		<b>TO: (PLEASE PRINT)</b> Box: Patent Applications Commissioner for Patents Washington, DC 20231	

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Robert J. Deri et al.

Attorney Docket No. : IL-10504

Serial No. : 09/609178

Art Unit:

Filed : 6/30/00

Examiner:

For : Wavelength-Conserving Grating Router For Intermediate  
Wavelength DensityCommissioner for Patents  
Washington, D.C. 20231CERTIFICATE OF MAILINGI hereby certify that the following *attached*

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Washington, DC 20231Date of Deposit 8/17/00Kathy E. Raymond  
(Type or print name of person mailing paper)Kathy E. Raymond  
(Signature of person mailing paper or fee)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Robert J. Deri et al.

Attorney

Docket No.: IL-10504

Serial No.: 09/609178

Group Art Unit:

Filed: 6/30/00

Examiner:

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Applicant: Robert J. Deri et al.

Attorney

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